

Preservation/Retention Subgroup

July 21, 2008

Discussion Items

D1) Paul delineated the types of issues we should concern ourselves about; operational, operational archive and historical archive. The distinction is that we need some way for all of us to file away stuff that we don't think we'll have to reference again, but just in case.... and then some of that may make it to the historical archives.... operational materials are pretty much determined by departments, but there are issues about how we migrate these to the Archives (and deciding what should be kept and on what schedule). For instance, the Factbook, finished drawings, plans, etc. from architect's office. We can't keep everything.

D2) Kip recommends keeping materials as long as useful, two years after that, and a while longer unless there are state or federal regulations. Example is a student from 1988 who continues to come back on a regular basis, so they have to keep his record. Therefore it is still useful. How to codify a while longer; the office or unit may set up a meeting with Archives and/or Data Stewards to say whether this is historically relevant or not. People have to be able to use their judgment about how long to keep records. Can we develop a policy of the migration process?

D3) Paul had envisioned that once something is sent to Archival space, it would be discarded. How do you decide WHAT to send to Archival space? Kathleen noted that we need to get rid of things as soon as we are able to, legally, etc., because they are auditable. There are certain records that should go into the archives, such as student records, personnel records, purchasing records. Policy needs breadth to cover all areas. Kip feels there needs to be some latitude to let departments make determination as to how long to keep materials and when to send it to Archival space; must be retrievable.

D4) Paul is thinking about a process in which units archive on some sort of regular basis, understanding that they can get materials back. How to determine if something is closed. Kip's example: she manages eviction cases; they get default judgments which are boxed up after a period of years. They are sent to Archives; once in a while the student wants to pay it off many years later. Legal makes a request to get this record. Paul pointed out that while the historical archive space might be separate from a departmental archive, it might still be under Phil's management (this is underdetermined).

D5) Dan points out that we're in pretty good shape with paper materials, but it's the electronic materials that are not being dealt with appropriately at this point. The Data Stewards might develop policies to assist in developing standards, and an archival space to deal with these materials. Dan points out that what to retain is not just a departmental decision; HR might require a longer retention period. How do we set up policies to assist with the processes?

D6) Jason pointed out that we are mixing disposal with permanent archiving of materials. This would be an operational archive as opposed to historical archive, hopefully all managed by Phil's unit. Paul points out that in order to have an archival space, you have to define metadata elements to retrieve this

data. On the operational side, do we need to think in terms of a “virtual” folder where these docs are kept? Paul explained what his office uses, in concert with OnBase to keep architect and building docs.

D7) Recently people are using OnCourse to store projects, similar to Project Docs which Paul’s office uses. FMS has most things electronically, while HR doesn’t at this point. Operational archive should be the “official” record. How would a “virtual file folder” help? Looking at it from a policy perspective, what types of policies do we recommend? Some people print out electronic documents! Time sheets do not go to FMS; so departments keep those.

D8) What is the scope of the records retention we are discussing? If we can narrow it to be the institutional operational records it might be manageable. If we provided a space, it might make people more comfortable about getting rid of things, but you will never get people to discard or get rid of everything. One major question is, “what e-mails are worth archiving?” This group needs to try and define some guidelines.

D9) Kip recommended that there be an educational component to be sure that people keep their e-mails professional.

D10) Units have to make the call as to whether something is official or not and what the retention policy(s) are; there should be no reason for people to keep these if they are archived.

D11) The whole concept of archiving databases is troubling; must be a way to take a snapshot in time for storage. Are we talking about archiving entire databases or the data itself (data determined to be in need of archiving)?

D12) Determining what data to keep is difficult.

D13) Kip gave a short update on her work to determine current state and federal regulations.

Action Items

A1) This group should provide draft guidelines regarding e-mail and what to keep or how to archive and what to archive. Recommend that if something is important, there has to be a place to keep it; also, a way to organize materials so they can be retrieved.

A2) Dan suggested that maybe what we should do is make a recommendation that major departments develop systems retention policies which would be used as guidelines for people within individual units.

A4) Paul asked group to document any regulations that indicate what they are asking departments to keep.